

**Emergency Employment of Army and
Other Resources**

**U.S. Army
Continuity of
Operations
(COOP)
Program Policy
and Planning**

**Headquarters
Department of the Army
Washington, DC
12 April 2006**

UNCLASSIFIED

SUMMARY of CHANGE

AR 500-3

U.S. Army Continuity of Operations (COOP) Program Policy and Planning

This major revision, dated 12 April 2006--

- o Incorporates 9/11 lessons learned (throughout the regulation).
- o Retitles the regulation to include policy and planning.
- o Expands distribution to include command level D.
- o Requires heads of Headquarters, Department of the Army Staff Agencies to review, re-evaluate and provide their mission essential functions to the Director, Force Protection Division no later than 1 February of every odd year (para 1-4d).
- o Designates the Director, Operations, Readiness, and Mobilization as the representative to the Defense Continuity Executive Steering Group (para 1-6f).
- o Establishes the Installation Management Agency as the central Army point of contact for coordinating emergency relocation facilities or alternate headquarters site selection and requires army installations that support these activities to send copies of memorandums of agreement to the Installation Management Agency (paras 1-6g and 2-9a).
- o Aligns continuity requirements with Department of Defense Directive 3020.26 (para 1-8).
- o Establishes shelter-in-place requirements (para 1-9h).
- o Establishes the requirement for interoperable communications capabilities (para 1-9k).
- o Establishes requirement for annual continuity exercises (tabletops, functional, or full-scale) (para 1-9l).
- o Incorporates the Duplicate Emergency Files Program (para 2-11).
- o Updates operations security guidelines (para 2-12).
- o Establishes application/database replication in support of continuity of operations requirement (para 2-13).
- o Updates the procurement appendix to reflect lessons learned after 11 September 2001 and assigns proponentcy to the Army Contracting Agency (appendix E).
- o Adds a management control evaluation checklist (appendix F).

Effective 12 May 2006


Emergency Employment of Army and Other Resources

U.S. Army Continuity of Operations (COOP) Program Policy and Planning

By Order of the Secretary of the Army:

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General, United States Army
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History. This publication is a major revision.

Summary. This regulation details Army Continuity Program policy in accordance with Department of Defense guidance, ensures continuity of mission essential functions under all circumstances, establishes the requirement for annual continuity exercises, and requires centralized coordination of alternate headquarters and emergency relocation facilities.

Applicability. This regulation applies to the Active Army, the Army National Guard/Army National Guard of the United States, the U.S. Army Reserve, and Army major commands, field operating agencies, and Army-owned and Army-managed installations, facilities, and civil works projects, unless otherwise stated. In

the event of conflict between this regulation and approved Office, Secretary of Defense or Joint Chiefs of Staff publications, the provisions of the latter will apply.

Proponent and exception authority.

The proponent of this regulation is the Deputy Chief of Staff, G–3/5/7. The Deputy Chief of Staff, G–3/5/7 has the authority to approve exceptions or waivers to this regulation that are consistent with controlling law and regulations. The Deputy Chief of Staff, G–3/5/7 may delegate this approval authority, in writing, to a division chief with the proponent agency or its direct reporting unit or field operating agency, in the grade of colonel or the civilian equivalent. Activities may request a waiver to this regulation by providing justification that includes a full analysis of the expected benefits and must include formal review by the activity's senior legal officer. All waiver requests will be endorsed by the commander or senior leader of the requesting activity and forwarded through their higher headquarters to the policy proponent. Refer to AR 25–30 for specific guidance.

Army management control process.

This regulation contains management control provisions and identifies key management controls that must be evaluated.

Supplementation. Supplementation of this regulation and establishment of command and local forms are permitted at the

major Army command level to accommodate local circumstances. Supplementation and local forms below major Army command level are prohibited without prior approval from HQDA, Director, Force Protection Division, ATTN: DAMO–ODF, 400 Army Pentagon, Washington, DC 20310–0400.

Suggested improvements. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) directly to HQDA, Director, Force Protection Division, ATTN: DAMO–ODF, 400 Army Pentagon, Washington, DC 20310–0400.

Distribution. This publication is available in electronic media only and is intended for command levels D and E for the Active Army, the Army National Guard/Army National Guard of the United States, the U.S. Army Reserve, and major Army commands, field operating agencies, and Army-owned and Army-managed installations, facilities, and civil works projects.

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*This regulation supersedes AR 500–3, dated 28 May 2001, and AR 340–26, dated 5 May 1982.

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Chapter 1

Introduction

Section I

General

1–1. Purpose

This regulation establishes responsibilities, policies, and planning guidance to ensure the effective execution of critical Army missions and the continuation of mission essential functions (MEFs) under all circumstances. All Department of the Army (DA) continuity-related activities will be coordinated and managed under the Army Continuity of Operations (COOP) Program. This regulation is the proponent policy document for the U.S. Army COOP program. If there is any conflict in this guidance with any other Army regulation, pamphlet, or other Army document, this regulation takes precedence. A functional COOP plan is complimentary to other continuity programs and is a part of the foundation for Army COOP.

1–2. References

Required and related publications and prescribed and referenced forms are in appendix A.

1–3. Explanation of abbreviations and terms

Abbreviations and terms used in this regulation are explained in the glossary.

Section II

Responsibilities

1–4. Heads of Headquarters, Department of the Army Secretariat, and Staff Agencies

The heads of HQDA Secretariat and Staff Agencies will—

a. Designate a primary and alternate COOP point of contact (POC). POC information will be provided to the Director, Force Protection Division (DAMO–ODF) not later than 30 September of each year, or within 10 working days if the POC name or contact information changes. Names, telephone numbers, unclassified and classified Army Knowledge Online (AKO) and unclassified and classified non-AKO e-mail addresses will be provided to HQDA, Director, Force Protection Division, ATTN: DAMO–ODF, 400 Army Pentagon, Washington, DC 20310–0400 or e-mailed to: ARMYCOOP@hqda-aoc.army.pentagon.mil.

b. Provide COOP primary POCs and alternates with individually assigned secret Internet protocol router network (SIPRNET) access/connectivity. The primary means for conducting COOP planning, correspondence, and communication is via SIPRNET.

c. Identify and prioritize MEFs to be performed as the basis for continuity planning, preparation, and execution. These should directly support HQDA and Chairman of the Joint Chiefs of Staff (CJCS) MEFs.

d. Review, re-evaluate, and provide their MEFs to the Director, Force Protection Division no later than 1 February of every odd year. As changes occur, agencies will provide updates to their MEFs for consideration and review at all times.

e. Establish COOP plans and procedures to ensure the uninterrupted execution of critical HQDA MEFs.

f. Identify and train their HQDA ERG personnel and provide roster updates to the Director, Force Protection Division as changes occur.

g. Identify critical requirements and procurement needs for command, control, communications & intelligence (C3I), prepositioned files, vital records, documents, software, databases, or other resources to be stored, protected and made available at their ERF and alternate headquarters. Review prepositioned items and contingency procurement requests semiannually and update as changes occur. Priority should be given using electronic media storage vice paper files.

h. Develop, maintain, and exercise an internal COOP plan and procedures for personnel who are not expected to deploy with the HQDA ERG.

i. Prepare, coordinate, validate, update, and maintain their organization's COOP Operations Plan (OPLAN) at least every 2 years and submit a copy of the plan to the Director, Force Protection Division.

j. Identify and program requirements to support internal HQDA Secretariat and Staff Agency COOP programs and ERFs. The Assistant Secretary of the Army for Financial Management & Comptroller (ASA(FM&C)) will ensure that continuity requirements are adequately planned, programmed, and budgeted and that unique requirements for the Army-wide Defense Continuity Program are specifically identified in Army-wide budgets in accordance with Department of Defense Directive (DODD) 3020.26. This will include, but not be limited to, all assets and resources and development, maintenance, and operations of facilities, communications, and transportation capabilities.

k. Integrate agency continuity functions into HQDA COOP exercises to provide assurance that MEFs can be performed across a spectrum of contingencies, threats, events, and other emergencies.

1–5. The Administrative Assistant to the Secretary of the Army

Upon COOP execution or before as the situation warrants, the Administrative Assistant to the Secretary of the Army, through the Army Contracting Agency (ACA), will execute procedures to procure the previously contracted/arranged for logistics and information systems support for the HQDA Staff and Secretariat. This includes food, water, transportation, medical supplies, communications, and accommodations that exceed the capabilities of the ERF and any other such requirements as validated by the Deputy Chief of Staff, G–3/5/7 (DCS, G–3/5/7). Non-HQDA Staff and Secretariat Army organizations follow the procurement guidance of this regulation. The Administrative Assistant to the Secretary of the Army will also coordinate Secretariat participation in Army continuity programs and COOP planning.

1–6. The Deputy Chief of Staff, G–3/5/7

The DCS, G–3/5/7 is the Army proponent for the Army COOP Program policy and planning. The DCS, G–3/5/7 will—

- a.* Exercise overall responsibility for the development, implementation, and management of Army COOP policy and program direction.
- b.* Develop, coordinate, and validate COOP requirements.
- c.* Ensure that Army COOP guidance, policies, plans, and procedures are consistent with directives from the President, Office of the Secretary of Defense (OSD), Department of Homeland Defense, Federal Emergency Management Agency, Secretary of the Army, Chief of Staff, Army, and the CJCS.
- d.* Ensure continuity programs are adequately planned, programmed, and budgeted and meet DODD 3020.26 policy and planning requirements.
- e.* Designate the Director, Operations, Readiness, and Mobilization (DAMO–OD) to serve as the Army’s single authoritative representative for management, oversight, and policy compliance of the Army COOP Program.
- f.* Designate the Director, Operations, Readiness, and Mobilization as the HQDA representative to the Defense Continuity Executive Steering Group.
- g.* Designate the Force Protection Division as the Office of Collateral Responsibility (OCR) to assist the Installation Management Agency (IMA), which is the single point of contact for emergency relocation facility planning and deconfliction for the Department of the Army (see para 2–9 for responsibilities, policy, and guidance).
- h.* Prepare, coordinate, validate, and maintain the HQDA COOP OPLAN and update the plan at least every 2 years.
- i.* Maintain compatibility between HQDA COOP plans and those of the OSD, Joint Staff, other Services, and components.
- j.* Ensure the HQDA COOP OPLAN supports the Chief of Staff of the Army as a member of the Joint Chiefs of Staff.
- k.* Coordinate and provide Army transportation assets to support the Joint Staff planning responsibilities for the emergency evacuation of key leaders and resources from the National Capital Region (NCR).
- l.* Ensure capability to perform continuous operations from geographically dispersed facilities on fixed or other platforms.
- m.* Plan, conduct, test, and assess HQDA COOP exercises at least annually. These may be tabletop, functional, or full-scale exercises as determined by the senior Army official responsible for the organization. This senior Army official will determine what corrective actions, lessons learned, metrics, and tracking mechanisms are necessary and what formats and procedures will be used by the organization (see AR 11–33 and AR 350–28 for guidance).
- n.* Exercise and test continuity plans with OSD, Joint Staff, other services, and subordinate component commands, as required.
- o.* Establish policy and provide guidance for identifying, storing, protecting, and maintaining COOP emergency files, vital records, materials, and databases required to execute MEFs and ensure they are accessible at any ERF and at the AH.
- p.* Develop, maintain, and test automated and/or manual (if automated is unavailable) HQDA alert and notification procedures and rosters quarterly.
- q.* Consider the provisions of AR 525–26 when developing COOP plans to ensure the availability of required infrastructure under all conditions.
- r.* Develop and implement coordinated multiyear strategic management plans in accordance with the Army COOP Program.
- s.* Establish a decision process for determining appropriate actions in implementing continuity plans and procedures with or without warning, during duty and nonduty hours, and address stand-down of continuity operations and transition back to normal operations.
- t.* In concert with the Chief of Information/G–6 (CIO/G–6), make maximum use of information technology solutions to provide information to leaders and other users, facilitate decisionmaking, and issue orders and direction.
- u.* Assist the CIO/G–6 to maintain required redundant communications capabilities necessary to support MEF.

1–7. Commanders of major Army commands

Commanders of major Army commands (MACOMs) will—

a. Designate a primary and alternate COOP POC. POC information will be provided to the Director, Force Protection Division not later than 30 September each year, or within 10 working days if the POC name or contact information changes. Names, telephone numbers, unclassified and classified AKO and unclassified and classified non-AKO e-mail addresses will be provided to HQDA, the Director, Force Protection Division, ATTN: DAMO–ODF, 400 Army Pentagon, Washington, D.C. 20310–0400 or by e-mail to ARMYCOOP@hqda-aoc.army.pentagon.mil. MACOM primary and alternate COOP POCs will maintain a roster of their subordinate echelon COOP POCs.

b. Provide COOP primary POCs and alternates with individually assigned, dedicated, SIPRNET access/connectivity vice using a general use office SIPRNET. The primary means for conducting COOP planning, correspondence and communication is via SIPRNET.

c. MACOM COOP POCs will oversee their COOP Program and will be the interface with the Army COOP Program Manager (DAMO–ODF). MACOM COOP POCs will direct Army COOP policy questions, as required, to the COOP Program Manager.

d. Develop and maintain a COOP program and COOP OPLAN that identify and prioritize MEFs in accordance with guidance contained within this regulation.

e. Plan, conduct, test, and assess MACOM COOP exercises at least annually to provide assurance that MEFs can be performed across a spectrum of contingencies, threats, events, and other emergencies. These may be tabletop, functional, or full-scale exercises, as determined by the senior Army official responsible for the organization. This senior Army official will determine what corrective actions, lessons learned, metrics, and tracking mechanisms are necessary and what formats and procedures will be used by their organization (see AR 11–33 and AR 350–28 for guidance). Notify the COOP Program Manager when this annual requirement is fulfilled.

f. MACOMs not specifically tasked in the CJCS COOP OPORD, the HQDA COOP Concept of Operations (CONOPS), and HQDA COOP OPLAN will use these documents as guides to develop their MACOM and subordinate command COOP OPORD, CONOPS, OPLAN, and/or other procedures, as the MACOM commander or agency head directs. Tasked MACOMs will adhere to the CJCS COOP OPORD, HQDA COOP CONOPS, and HQDA COOP OPLAN.

g. Require subordinate organizations or activities with essential missions to develop and maintain their own supporting COOP plans and procedures.

h. Coordinate MACOM and subordinate unit ERF and/or AH with IMA.

i. Separately identify funds programmed and budgeted to support COOP programs. Under guidance from the ASA(FM&C), ensure that continuity program requirements are adequately planned, programmed, and budgeted, and that Army-wide Defense Continuity Program unique requirements are specifically identified in Army-wide budgets. This will include, but not be limited to, all assets and resources and development, maintenance, and operations of facilities, communications, and transportation capabilities.

j. Coordinate, update, validate, and reissue their COOP OPLANs at least every 2 years and submit a copy of the plan to the HQDA Director, Force Protection Division.

k. Identify ERFs for use during continuity threats or events. Facility selection will consider geographical dispersion to maximize co-location and dual use of facilities.

l. Identify command, control, communications, computers, and intelligence (C4I) systems requirements necessary to support mission essential functions. The goals are redundancy and security for communications. Implementation of these goals will be determined by the senior Army official responsible for the organization.

Section III

Requirements for the Army Continuity of Operations Program

1–8. General

The Army COOP Program represents an integrated set of Army policies, plans, and procedures that support the Defense Continuity Program. The Army COOP Program assures the capability exists to continue uninterrupted organization MEFs under all circumstances including crisis, attack, recovery, and reconstitution across a wide range of potential emergencies. This includes all planning and preparatory measures, alert and notification actions, response actions, and restoration activities for all hazards, including acts of nature, natural disasters, accidents, and technological and/or attack-related emergencies. The program encompasses HQDA Secretariat and Staff agencies, MACOMs, and subordinate commands performing COOP functions. A sample command inspection checklist is at appendix B.

1–9. Minimum program requirements

At a minimum, officials directing Army continuity programs will—

a. Provide for continued performance of an organization's MEF under all circumstances.

b. Establish procedures governing succession to office.

c. Establish emergency delegations of authority.

- d.* Establish procedures for the safekeeping of vital resources, facilities, and records.
- e.* Establish procedures for the improvisation or emergency acquisition of resources necessary to execute MEF.
- f.* Establish the capability and procedures needed to relocate essential personnel to alternate locations to support MEF.
- g.* Consider assigning, training, and equipping augmentation forces to facilitate evacuation, shelter-in-place and other COOP related requirements as deemed necessary by the organization leadership. Normally their duties and responsibilities are predesignated so these forces are able to be trained and equipped properly, in advance, of possible COOP events.
- h.* Establish the capability to shelter-in-place essential personnel.
- i.* Establish the capability to shelter-in-place nonessential personnel. During this situation, nonessential personnel may augment essential personnel as deemed necessary by the senior Army official in charge of the facility's COOP mission.
- j.* Establish capabilities to execute MEFs at the alternate location pending reconstitution to normal operations.
- k.* Establish interoperable communication capabilities within organization, DOD components, Joint Forces, and support agencies in order of priority.
- l.* Require annual testing, training and/or exercising of COOP capabilities. These may be tabletop, functional, or full-scale exercises as determined by the senior Army official responsible for the organization. This senior Army official will determine what corrective actions, lessons learned, metrics, and tracking mechanisms are necessary and what formats and procedures will be used by their organization (see AR 11-33 and AR 350-28 for guidance).
- m.* Require plans to take into account and respond to threats that all personnel, the mission, and COOP are most likely to face (see app C).
- n.* Establish procedures for the devolution of command and control.
- o.* Establish plans for reconstitution and return to normal operations.
- p.* Consider issuing military personnel, civilian and contractor employees with COOP responsibilities a Government Emergency Telecommunication Service (GETS) cards. The GETS is a national security and emergency preparedness service of the Federal Government. This system increases the probability of completing emergency calls worldwide when normal calling methods fail. For more information, see <http://gets.ncs.gov>.
- q.* Ensure emergency relocation facilities (ERF) comply with the Americans with Disabilities Act and be accessible and designed for handicap personnel. Procedures for routine and emergency ingress and egress must consider handicap assigned and visiting personnel, including during power-out conditions.
- r.* Ensure ERFs and essential facilities are capable of permitting ingress as well as egress during power-out conditions.
- s.* Ensure that Department of Army Civilians (DAC) position descriptions and statements of work for contractors with COOP responsibilities clearly reflect and/or specify what their nonroutine office duties are (for example, travel, 24-hour on-call duties, 24-hour exercise duties, and so on). Some DACs occupy positions that cannot be vacated during national emergency or mobilization without seriously impairing the capability of their organization. To ensure continuity in mission, commanders may designate these positions as key.
- t.* Consider designations on badges or other forms of identification to distinguish the COOP or other personnel exempt from movement restrictions during a COOP event.
- u.* Address contingency procurement/contracting requirements and procedures during COOP events.
- v.* Declare in their procedures that their COOP OPLAN automatically becomes an OPORD upon COOP declaration/activation.
- w.* Ensure that ERG and other COOP Personnel who may carry classified information outside of their normal place of duty are issued and possess current Courier Cards upon appointment to these positions.
- x.* Ensure that senior military or DAC personnel, by grade, in a Government vehicle are aware that they are in charge of the vehicle, its contents and passengers. These personnel may designate other persons to assist with, but not assume, this responsibility.
- y.* Not use hospitals, emergency care or other civilian emergency facilities for military purposes in accordance with the Geneva Convention.
- z.* Ensure that at least annually, if possible, senior Army officials responsible for their organization assess and/or test their power out emergency circuitry, emergency generators, and power-out ingress and egress mechanisms during actual power-out conditions to determine emergency requirements under simulated disaster conditions.

Chapter 2

Continuity of Operations Planning Guidance

2-1. General

The Army COOP program assures that the capability exists to continue MEFs uninterrupted across the full spectrum of emergencies and prepares Army organizations for any contingency that potentially interrupts normal operations. The COOP Program supports the President, the Secretary of Defense, the CJCS, Department of the Army organizations, and other DOD components.

a. Army COOP planning has evolved from the previously known and expected major enemy initiated event and relocating and surviving through it, to a requirement to plan for the previously unthinkable because of the watershed terrorist events that occurred on 11 September 2001.

b. Thinking out of the box and developing flexible COOP plans and procedures for all possible events have become the new norms for the Army. Hence, Army COOP plans will be event neutral and consider capabilities, connectivity, and procedures that would provide Army organizations and leadership with the ability to ensure their MEFs continue to operate in all-hazards environments with minimum disruption, through and during the event, until normal operations are restored. Minor interruptions such as a short duration power failure, for example, that do not substantially disrupt an organization's MEFs possibly may not be considered by the organization's leadership as a declared COOP event.

c. As a minimum, COOP plans must—

- (1) Support COOP plans of higher headquarters and supported organizations, as applicable.
- (2) Provide capability to execute with or without warning and during duty and nonduty hours.
- (3) Provide flexibility and responsiveness to anticipate any emergency or crisis that interrupts MEF.
- (4) Establish a decision process for determining appropriate actions for implementation of COOP plans.
- (5) Identify and prioritize MEFs necessary to execute during emergencies.
- (6) Identify organizational MEFs that can be deferred without impact to the unit's core mission until the situation permits their execution. A prioritization of deferred MEFs may be used. For example, priority A MEFs are tasks that must continue without interruption and directly support the priority missions of the higher headquarters and the unit's own MEFs. These are MEFs of such importance that they must continue to be performed regardless of what is happening around the organization or in the world. Priority B MEFs are tasks that an agency can defer no longer than 48 hours from "N" time (see NOTE below); priority C MEFs are tasks that an agency can defer for no longer than 7 days from "N" time; and priority D MEFs may be deferred until the COOP event is over and normal unit operations are restored. This example may be used and/or adjusted by senior unit officials to fit mission requirements. However, MEFs that can not be deferred may be transferred to another Army organization either subordinate to the transferring organization or under the auspices of an approved and completed memorandum of agreement (MOA).

Note. Notification Reference Time, designated "N" time, is defined as the time that Emergency Relocation Group (ERG) notification is initiated.

- (7) Identify, prepare, maintain, and protect facilities and key personnel necessary to support continuity programs.
- (8) Identify essential resources, files, databases, telecommunication equipment (secure telephone units, secure telephone equipment, secure laptops, SIPRNET connections, encryption device); and ensure security classifications are appropriate at the COOP site.
- (9) Identify, train, and exercise ERG members and all continuity staff at least annually. These may be tabletop, functional, or full-scale exercises, as determined by the senior Army official responsible for the organization. This senior Army official will determine what corrective actions, lessons learned, metrics, and tracking mechanisms are necessary and what formats and procedures will be used by the organization (as guides, see AR 11-33 and AR 350-28).
- (10) To ensure capability to perform MEF and to serve as basis for reconstitution, provide for leadership successors and alternates, emergency delegations of authority, decisions, and orders of succession for key positions.
- (11) Provide for alert and notification of ERG personnel, as a minimum, and identify procedures for advisories, alerts, and notifications.
- (12) Provide for personnel accountability throughout the duration of the emergency.
- (13) Provide for attaining operational capability (such as state of capability to complete all unit MEFs) within 12 hours. The minimum/acceptable operational level to be obtained within this time period will be determined by the senior Army official responsible for the organization.
- (14) Establish reliable processes and procedures to acquire resources necessary to continue MEFs and sustain operations for a minimum of 30 days.
- (15) Establish the capability to shelter-in-place essential personnel.
- (16) Establish the capability to shelter-in-place nonessential personnel. During this situation, nonessential personnel may augment essential personnel as deemed necessary by the senior Army official in charge of the organization's COOP mission.
- (17) Establish and maintain MEF application and database replication procedures.

d. In lieu of establishing HQDA mandated criteria for MACOM continuity capabilities and MACOM and subordinate commands, commanders are authorized to establish their own criteria consistent with the organization's mission, this regulation, and probable threat. Field Manual (FM) 100-14 will be consulted and the risk management process be used as applicable.

e. As deemed necessary by the respective commander, Army organizations will identify one or more ERF and/or an AH location to be used during permissive or nonpermissive environments if the primary headquarters is threatened or becomes incapacitated.

f. Whenever possible, Joint Forces and DOD components should consider collocation/joint occupancy and cross-training of a small team at the ERF.

g. Protection of information concerning ERF and AH locations, as well as key provisions of COOP plans, will be consistent with the guidance in appendix D.

h. Plans and procedures to return to normal operations after the end of the COOP event will be developed.

i. Procedures to test emergency generators at least annually under loads will be developed to ensure that, if power was lost to an emergency relocation facility and/or the shelter-in-place facility, the emergency generator would perform under actual emergency use operations. The parameters for these procedures and tests will be established by the senior Army agency leader or designated representative. Consideration must be given to the emergency generator operation of essential facility requirements, such as both ingress and egress of doors used during emergency conditions; fuel pumps that automatically transfer fuel from storage tanks to emergency generators; operation of communications devices and computers required during emergency operations; refrigerators holding medicine; and water pumps for hygiene facilities (this list is provided as an example only and is not inclusive).

j. Develop procedures and training of senior persons and alternates in each mode of relocation transportation to ensure that they are familiar with convoy commander procedures and responsibilities, how to summon help after attack on the convoy, medical emergency, and transportation vehicle or aircraft emergency, as examples. These procedures will include detailed maps to the primary and alternate ERF, emergency contact numbers and radio contact information, as applicable, and contingency feeding and water plan, if transportation routes are impassable for prolonged periods while enroute to the ERF.

k. Include who is responsible to validate requirements and who will handle individual/subordinate elements' requests to have items bought in advance of, during, or after a COOP event, and how. The contracting community buys what commanders give them as validated requirements with certified funds. Often prior-negotiated and in-place MOAs with suppliers of services and goods required upon COOP activation will ease the need for emergency procurement. OPLANs should include this guidance for the noncontracting organization personnel to follow. See appendix E of this regulation for additional procurement guidance.

2-2. Planning objectives

COOP planning objectives are designed to—

a. Ensure MEFs are identified, are prioritized, and can be executed at an ERF continuously pending the restoration of normal operations.

b. Ensure continuous command and control and restoration after disruption.

c. Ensure delegations of authority are established and promulgated.

d. Avoid or minimize disruptions to operations.

e. Ensure succession to office.

f. Provide an ERF able to support relocated personnel, equipment, and additional resources.

g. Protect critical facilities, equipment, vital records, and other assets to fulfill unit MEFs. Electronic storage, vice paper, is the preferred method and is encouraged.

h. Provide procedures for the improvisation or emergency acquisition of resources necessary to facilitate the execution and sustainment of an organization's or agency's MEFs.

i. Minimize loss of life, damage, and losses.

j. Allow for recovery in a timely and orderly fashion and resume normal operations.

k. Provide for redundant or interoperable (critical) communication systems that sustain connectivity through DOD components, Joint Forces, and support agencies.

l. Ensure that leadership principals and supporting staff retain the capability to—

(1) Support MEFs of higher headquarters.

(2) Coordinate with mission-essential external organizations and agencies.

(3) Allocate resources in support of essential missions and functions.

(4) Provide guidance and support to Army forces committed to and supporting the COOP event.

(5) If required, conduct residual capability assessments.

(6) Establish essential communication circuits and connectivity requirements.

(7) If required, recover operational capability. The minimum/acceptable operational level to be obtained will be determined by the senior Army official responsible for the organization.

- (8) If required, reconstitute resources and restructure forces.
- (9) If required, assume responsibilities as senior military commander.
- m. Ensure critical MEF applications and databases are constantly replicated.

2–3. Subordinate continuity of operations plans

a. Each organization or agency will prepare in its plan for actions to be taken by all of its Soldiers, civilian employees, and contractors, should the COOP plan(s) of a higher headquarters be activated or executed. Subordinate plans will be consistent with the plans of their higher headquarters and will ensure the continued provision of support for the execution of the higher headquarters and its MEFs.

b. MACOMs not specifically tasked in the CJCS COOP OPORD, the HQDA COOP CONOPS or the HQDA COOP OPLAN will use these documents as a guide to develop their MACOM and subordinate command COOP OPORDs, CONOPS, OPLANs, and/or other procedures, as the MACOM commander or Agency head directs. Tasked MACOMs will adhere to the CJCS OPORD, the HQDA COOP CONOPS, or the HQDA OPLAN, as applicable.

2–4. Planning phases

Army COOP planning and execution involve the deliberate and preplanned movement or sheltering-in-place of selected key leaders and mission essential supporting staff to an ERF, depending upon the type of COOP event and whether or not the environment is permissive or nonpermissive. COOP planning and implementation span three phases:

a. *Activation and relocation (response) phase (0 to 12 hours).* This phase starts at the onset of an unannounced COOP event or when formal declaration is made of an impending COOP event. COOP plans must be executable with or without prior notice and during all hours. Actions in the phase include activation of alert and notification procedures; deployment and ERF activation, reception, coordination, and establishment or transfer of command and control (C2); personnel accountability by the G–1; and initiation of procedures and schedules to transfer MEFs, personnel, records, and equipment to an ERF or AH.

b. *Alternate operating facility (recovery) phase.* Actions in this phase enable the relocating staff to assume and commence MEF from the ERF. Priority is given to executing MEF, continuing C3I, logistics support, maintenance and restoration of law and order, military support to civil authorities, and damage and residual resource assessment and reporting.

c. *Reconstitution (termination and return to normal operations) phase.* Reconstitution actions will focus on restoration of command staffs, capabilities, and functions. This includes—

- (1) Restoring essential C4I. The goals are redundancy and security for communications. Implementation of these goals will be determined by the senior Army official responsible for the organization.
- (2) Restoring or maintaining communications with OSD, Joint Staff, and other external agencies, as applicable.
- (3) Restoring or maintaining communications with higher, lower, and other headquarters and organizations or agencies, as required.
- (4) Assessing the unit's own remaining capabilities and resources.
- (5) Determining and supporting MEFs and higher headquarters priorities and missions, as applicable.
- (6) Establishing unitwide MEF priorities and tasks.
- (7) Allocating resources in support of higher headquarters priority missions and unit's own MEF missions.
- (8) Restoring all organizational capabilities and functions.
- (9) Reconstituting the organization.
- (10) Reconstituting the organization's Army elements of joint organizations, as applicable.
- (11) Reconstituting affected headquarters or subordinate organizations.

2–5. Plans and format

a. Army organization COOP plans will be designated an OPLAN. Upon COOP declaration/activation, a COOP OPLAN automatically becomes an OPORD. The planning format and rules are a combination of FM 5–0, the Joint Operation and Planning System (JOPES), Army writing requirements in AR 25–50, and the general requirements contained in Federal Preparedness Circular (FPC) 65. When not directed within this regulation, the senior Army official at each organization is authorized to adjust the OPLAN to fit mission requirements. COOP CONOPS may be incorporated into the OPLAN or published as a separate document as directed by the senior Army official responsible for the organization's OPLAN. Security classification will be commensurate with the overall content of the document. See appendix D of this regulation for further classification guidance.

b. The FM 5–0 five-paragraph format will be used. It is mandatory to include paragraphs 1 through 5:

- (1) Situation.
- (2) Mission.
- (3) Execution.
- (4) Service support.
- (5) Command and Signal.

c. Format rules in FM 5-0 and JOPES will serve as a guide. Recommended models to use are the HQDA COOP CONOPS and HQDA COOP OPLAN, available for view on the Army COOP Office Web site. If unable to access this Web site, contact the Army COOP Office at 703-693-1914 or 703-697-9798/DSN 223-1914 or 227-9798. The general information in FPC 65 is a good subject matter outline that will assist planners and writers of COOP procedures.

d. The following is a suggested COOP OPLAN outline. Senior Army official responsible for their organization may adjust as their mission needs dictate and will decide who completes each subtasking (see app F for the management control evaluation checklist). Normally, very detailed procedures and/or checklists are included in lower echelon documents with the higher echelon plans containing big picture concepts and directions:

- (1) Letter of transmittal.
- (2) Security instructions/record of changes.
- (3) Summary of changes to previous OPLAN.
- (4) Table of contents.
- (5) Basic COOP OPLAN.
- (6) Annex A, Task organization.
- (7) Annex B, Threats and intelligence.
- (8) Annex C, Operations.
 - (a) Emergency relocation group execution decision tree.
 - (b) Shelter-in-place and Augmentation Forces procedures.
- (9) Annex D, Logistics.
 - (a) Strip maps to relocation sites.
 - (b) Transportation procedures.
 - (c) Procurement/contingency contracting requirements.
- (10) Annex E, Personnel and administration.
 - (a) Rosters (alert, access, and so on).
 - (b) Key personnel listings (XOs, COOP POCs, and so on).
 - (c) Manning/TDA listings.
 - (d) Other personnel and administrative requirements (such as from FM 5-0, JOPES, and so on).
- (11) Annex F: Public affairs.
- (12) Annex J: Command relationships.
- (13) Annex K: Communications and information.
- (14) Annex L: OPSEC.
- (15) Annex Q: Medical services.
- (16) Annex T: Training and exercises.
- (17) Annex Y: Glossary and terms.
- (18) Annex Z: Distribution.
- (19) Suggested figures include—
 - (a) COOP concept of operations.
 - (b) Decision tree to activate the COOP OPLAN.
 - (c) Detailed strip maps and driving directions.
 - (d) During a COOP event actions, decision tree.
 - (e) Ground and air transportation mustering locations
- (20) Suggested tables include—
 - (a) Relocation staff manning (including senior personnel, staff agencies, by position (not name).
 - (b) Alternate operations center crisis action team (CAT) manning.
 - (c) Airlift flow requirements.
 - (d) Ground transportation requirements.
 - (e) Contents for personal relocation kits and for duty relocation requirements.

2-6. Leadership succession

Each organization or agency will designate successors for command authorities and other key personnel. Delegation authority should be of sufficient depth to ensure the agency's ability to perform their MEF. Considerations for establishing orders of succession are—

- a. Establishing an order of succession to the position of agency head and other key leadership positions.
- b. Identifying any limitation of authority.
- c. Describing orders of succession by titles rather than names of individuals.

d. Establishing the rules and procedures designated officials are to follow when facing issues of succession and rules for promulgating the changes.

2-7. Decentralized command and control

COOP plans provide a redundant, decentralized command and control structure capable of continuing essential operations and, if required, recovering or restoring an operational capability throughout the affected command. The minimum acceptable operational level to be obtained will be determined by the senior Army official responsible for the organization.

2-8. Restoration of command and control

a. Following an event that disrupts communications, priority will be given to restoring communications, as applicable, between HQDA, its MACOMs, subordinate commands, other DOD and Federal organizations and agencies. The emphasis will be on restoring the lines of authority and communications that existed previously. If this is not possible, an attempt will be made to establish AD HOC lines of authority using succession of command procedures and communications on a decentralized basis, centered on the their respective Army higher headquarters.

b. Army elements will attempt to constitute communication circuits in the following order of priority, as applicable and as determined by the senior Army official responsible for the organization:

- (1) Higher headquarters.
- (2) Alternate location of higher headquarters.
- (3) MACOM headquarters.
- (4) Alternate location of MACOM headquarters.
- (5) Joint State Area Command.
- (6) FEMA region headquarters.

2-9. Selection and use of alternate headquarters and emergency relocation facilities

a. An ERF is the location an organization moves to in order to continue operations. An AH is a subordinate command that takes over in case the headquarters is suddenly rendered incapable of commanding the organization.

(1) DOD centrally manages and documents ERF and AH locations, to include COOP training and exercise locations. This is necessary to prevent potential interference with or compromise of sensitive locations or operations.

(2) Army organizations establishing an ERF or AH will coordinate the locations through the IMA, which is the office of primary responsibility (OPR) for the Army's day-to-day management of the AH/ERF program.

(3) The AH/ERF OCR and Army COOP Program Manager is the Director, Force Protection Division (HQDA, ATTN: DAMO-ODF, 400 Army Pentagon, Washington, DC 20310-0400) or e-mail: ARMYCOOP@hqda-aoc.army.pentagon.mil. The OPR will coordinate ERF or AH requests with the OCR. The OCR may overrule requests for mission deconfliction reasons and will advise the OPR of such. Once the facility is approved, then site surveying, acquisition, and equipping the fixed or other assets will be the responsibility of the requesting organization and may require an MOA between the requesting and host organizations. Copies of MOAs will be provided to IMA.

(4) AH and ERF information will be updated in accordance with DOD classification guidance and sent to IMA NLT 30 September each year or within 10 working days if the location or contact information changes.

b. Critical information needed to coordinate the facility includes—

- (1) Requesting organization.
- (2) Facility location. A map with location marked with an X (include grid coordinates) will be attached.
- (3) Facility address. Installation, city, state, and/or territory will be provided.
- (4) Intended use. ERF/AH, adequate site for number of personnel and their equipment, possible cross-training for operational hand-off, and future number of exercises will be identified.
- (5) Host installation commander/host staff/sponsor/host organization.
- (6) Host installation commander/host staff/sponsor/host contact information. Phone numbers, unclassified e-mail address, secure e-mail address, and so on will be provided.
- (7) Verification that host installation commander/host staff/sponsor commander, operations officer, and logistics officer were notified of potential use.

c. Once approval is granted for use, the using Army organization will execute an MOA with the owning organization for facility use, as required.

d. All Army (Active, USAR, and Army National Guard) installation commanders will report, through their respective higher headquarters, the following information to IMA:

- (1) DOD organizations using their facility for ERF or AH.
- (2) Federal departments or agencies scheduled to use their facility for ERF or AH.
- (3) State and local entities using their facility for ERF or AH.
- (4) Organizational POCs for each of the above.

- e. Organizations will support the primary command center/headquarters until devolution of command to the AH or ERF is complete.
- f. AH/ERF will be staffed with permanent or with rotating personnel.
- g. Organizations will maintain alternate command capability.
- h. AH/ERF will manage transition to full operations during an emergency and perform designated functions during the reconstitution phase.
- i. AH/ERF will support return to normal operations.

j. Planning considerations for the identification and preparation of ERF/AH are—

(1) Army organizations, which will perform an all hazard risk assessment (in accordance with FM 100-14) for all facilities being considered for COOP use. This all-hazard analysis should include identification of all natural hazards that may affect the facility; the potential for the facility to be impacted by technological accidents such as fixed-facility and in-transit releases of hazardous materials; the ability to secure the facility against crime, sabotage, and terrorist attacks; and the capabilities of on-site and/or local first responders. ERF/AH should be located in an area where disruption to the organization's ability to initiate, maintain, and terminate operations is minimized. Maximum use should be made of existing organization local or field infrastructures, and consideration should also be given to other options such as telecommuting locations, work-at-home agreements, virtual offices, and joint or shared facilities.

(2) The distance from the threat area to any other vulnerable facilities/locations (for example, hazardous materials/nuclear power plants, or areas subject to natural disaster) (see United Facilities Criteria (UFC) 4-010-01).

(3) Access to essential resources such as food, water, fuel, medical facilities, and emergency services as required (for example, fire and police).

(4) The accessibility of transportation for personnel or a defined transportation plan that describes procedures for a warning or no warning COOP event.

(5) The organization's ERF/AH should have the ability to run emergency power to allow essential functions and operations to continue in any environment.

Note. These are nominal, and the senior Army official responsible for the relocating organization may adjust these as they deem necessary.

2-10. Emergency relocation group

a. ERG members will be selected to provide the best mix of senior leaders and supporting staff to execute MEFs regardless of the type of emergency or crisis that causes execution of COOP plans. Personnel assigned to the ERG will be—

- (1) Cleared for access to the ERF or AH and for the materials and equipment they are designated to use.
- (2) Available through alert and notification recall procedures.
- (3) Prepared to move to an alternate location when the primary location is threatened or no longer viable.
- (4) Briefed on all aspects of relocating to and operating at designated facilities.
- (5) Exercised at least annually.
- (6) Prepared to activate the organization's shelter-in-place plans and procedures.
- (7) Trained in COOP operations/execution to effectively support respective COOP plans.

b. As required, ERG members must be capable of—

- (1) Providing organization-specific functional expertise.
- (2) Providing essential planning and support.
- (3) Coordinating with appropriate representatives of higher headquarters, other Services, other agencies, and civil governmental sectors, as applicable.
- (4) Issuing and implementing decisions and directives.
- (5) Ensuring execution of MEFs.
- (6) Monitoring and reporting on the situation.
- (7) Accounting for organizational personnel.

2-11. Prepositioned information and duplicate emergency files

a. With the advent of new data storage hardware (for example, storage area networks and network access storage devices), the use of electronic data files has replaced the use of paper copies. ERG organizations will coordinate with their information technology support element(s) to ensure the systems, applications, databases, and electronic files they require to execute and sustain their MEFs are available at their ERF.

b. However, if budget constraints prevent an organization from electronically storing and accessing its data from a data storage facility other than their primary place of business, paper copies, CD-Rs, or magnetic tape will be used and prepositioned at the ERF. In addition, if an organization is bound by Federal regulations to maintain paper records, it is incumbent upon that organization to implement those regulatory requirements.

2-12. Operations security

a. The success of COOP planning relies on denying access by unauthorized parties to information on COOP plans, procedures, capabilities and facilities. COOP POCs will—

(1) Ensure that COOP planning, execution, and operation utilizes OPSEC techniques to categorize vulnerabilities, and employ applicable countermeasures.

(2) Integrate COOP planning, execution, and operations in conjunction with current OPSEC education and awareness training.

(3) Incorporate COOP OPSEC requirements as part of an annual review and validation of OPSEC plans and programs. Comply with the OPSEC requirements in AR 530-1.

b. Appendix D provides guidance on the level of classification of COOP information.

2-13. Application/database replication

a. Each HQDA staff element and MACOM, in coordination with their supporting information technology (IT) organizations, will identify, establish, maintain, and validate all C2 and continuity of business MEF applications and databases required for replication through emerging storage area network (SAN) or enterprise COOP capabilities.

b. Each HQDA staff element will submit its validated requirements to the DCS, G-3/5/7 for prioritization. Primary COOP support within the NCR will be provided by the Defense Continuity Integrated Network (DCIN) SAN for OSD, the Joint Staff and the Services. The Army is the Executive Agent for common IT services within the NCR and is responsible for DCIN operation and maintenance. As the enterprise portal, AKO and AKO-SIPRNET (AKO-S) will serve as the alternate capability for all other Army COOP requirements via direct hosting by AKO/AKO-S or via linkage to an approved COOP capability. Application and database replication will be addressed within annex K of organizational and agency COOP plans.

Appendix A

References

Section I

Required Publications

AR 11–33

Army Lessons Learned Program: System Development and Application, October 10, 1989. (Cited in paras 1–5*m*, 1–6*e*, 1–8*l*, 2–1*a*(9), D–5.)

AR 25–50

Preparing and Managing Correspondence, June 3, 2002. (Cited in para 2–5*a*.)

AR 350–28

Army Exercises, December 9, 1997. (Cited in paras 1–6*m*, 1–7*e*, 1–9*l*, 2–1*a*(9), D–5.)

AR 525–26

Infrastructure Risk Management (Army), June 22, 2004. (Cited in para 1–6*q*.)

AR 530–1

Operations Security (OPSEC), September 27, 2005. (Cited in para 2–12*d*.) (Available on AKO only.)

FM 5–0

Army Planning and Orders Production, January 2005. (Cited in para 2–5.)

FM 100–14

Risk Management, April 23, 1998. (Cited in paras 2–1*b*, 2–9*j*(1).)

UFC 4–010–01

United Facilities Criteria (UFC) DoD Minimum Antiterrorism Standards for Buildings. (Cited in para 2–9*j*(2).) (Available at www.hnd.usace.army.mil/techinfo/instruct.htm.)

DOD 5200.1–H

Department of Defense Handbook for Writing Security Classification Guidance. (Cited in para D–2.) (Available at www.dtic.mil/whs/directives.)

DODD 3020.26

Defense Continuity Program (DCP), September 8, 2004. (Cited in paras 1–4*j*, 1–6*d*, B–4*j*.) (Available at www.dtic.mil/whs/directives.)

DODD 5230.11

Disclosure of Classified Military Information to Foreign Governments and International Organizations. (Cited in para D–8.) (Available at www.dtic.mil/whs/directives.)

EO 12958, as amended

Classified National Security Information, April 17, 1995, as amended by EO 13292. (Cited in paras D–2, D–3, D–4, D–5.) (Available at www.archives.gov/research/index.html.)

FPC 65

Federal Executive Branch Continuity of Operations (COOP), June 15, 2004. (Cited in para 2–5.) (Available at www.fema.gov.)

Section II

Related Publications

A related publication is a source of additional information. The user does not have to read a related publication to understand this publication.

AR 25–1

Army Knowledge Management and Information Technology

AR 40-5

Preventive Medicine

AR 40-400

Patient Administration

AR 380-5

Department of the Army Information Security Program

AR 420-70

Buildings and Structures

AR 525-13

Antiterrorism. (Available on AKO only.)

AR 690-11

Use and Management of Civilian Personnel in Support of Military Contingency Operations

DA Pam 25-1-1

Information Technology Support and Services

DOD S-3020.26P

Office of the Secretary of Defense Continuity of Operations Plan. (Available at www.dtic.mil/whs/directives/.)

DOD Directive 3020.36

Assignment of National Security Preparedness (NSEP) Responsibilities to DOD Components. (Available at www.dtic.mil/whs/directives/.)

EO 12656, as amended

Assignment of Emergency Preparedness Responsibilities, as amended by EO 13286. (Available at www.archives.gov/research/index.html.)

EO 13394

Providing an Order of Succession Within the Department of Defense. (Available at www.archives.gov/research/index.html.)

ISOO Directive No. 1

Classified National Security Information (Available at www.archives.gov/isoo/policy-documents/eo-12958-implementing-directive.html.)

Section III**Prescribed Forms**

This section contains no entries.

Section IV**Referenced Forms**

The following form is available on the APD Web site (www.apd.army.mil).

DA Form 11-2-R

Manpower Control Evaluation Certification Statement

Appendix B**Sample Command Inspection Checklist**

This checklist may be adjusted as local conditions warrant.

B-1. Establishment of a continuity of operations program

a. Has a COOP (primary and alternate) POC been designated within operational channels or an organizational staff best suited to execute the organization's COOP Program?

- b.* Do higher headquarters primary and alternate COOP POCs maintain a roster of their subordinate echelon COOP POCs?
- c.* Do COOP POCs oversee their COOP Program and interface with their higher headquarters COOP Program Office?
- d.* Do COOP primary and alternates POCs have individually assigned, dedicated, SIPRNET access/connectivity vice using a general use office SIPRNET? The primary means for conducting COOP planning, correspondence and communication is via SIPRNET.
- e.* Does the COOP Program represent an integrated set of policies, plans, and procedures that support the Army and Defense Continuity Program?
- f.* Has the MACOM published a supplement to AR 500–3 outlining implementing guidance of MACOM unique security requirements?
- g.* Do DAC position descriptions and statements of work for contractors with COOP responsibilities reflect clearly that they are emergency essential and/or specify what their nonroutine office duties are (for example, travel, 24-hour on-call duties, 24-hour exercise duties, and so on)?
- h.* Has the COOP program been reviewed internally annually?
- i.* Is a COOP working group/committee organized and functioning?

B–2. Identification and prioritization of mission essential functions

- a.* Do the organization’s COOP Program and COOP OPLAN develop, maintain, identify and prioritize MEFs in accordance with guidance contained within this regulation?
- b.* Have MEFs been identified and prioritized by the organization’s command?
- c.* Does the COOP Program assure the capability exists to continue uninterrupted organization MEFs under all circumstances, including crisis, attack, recovery, and reconstitution across a wide range of potential emergencies?
- d.* Do subordinate organizations or activities with mission essential functions develop and maintain their own supporting COOP plans and procedures?
- e.* Are procedures established for the improvisation or emergency acquisition of resources necessary to execute MEFs?
- f.* Are the organization’s capabilities and procedures needed to relocate mission essential personnel to alternate headquarters/ERF relocation facilities to support MEFs identified and defined?
- g.* Are capabilities to execute MEFs at the alternate headquarters/ERF relocation facilities available pending reconstitution to normal operations?

B–3. Establishing higher headquarters and subordinate unit emergency relocation facilities and/or alternate headquarters

- a.* Have policy and guidance for identifying, storing, protecting, and maintaining COOP emergency files, vital records, materials, and databases required to execute MEFs accessible at any ERF and at the AH?
- b.* Has the respective Army organization senior official responsible for the organization identified one or more ERF/AH locations to be used during permissive or nonpermissive environments if the primary headquarters is threatened or becomes incapacitated?
- c.* Have assigning, training, and equipping augmentation forces to facilitate evacuation, shelter-in-place, and other COOP related requirements, as deemed necessary, been considered by the organization leadership? Normally, duties and responsibilities are predesignated so these forces are able to be trained and equipped properly, in advance of possible COOP events and relocation to ERF/AH.
- d.* Do ERF and AH comply with the Americans with Disabilities Act and are they accessible and designed for handicapped personnel?
- e.* Are ERF/AH facilities capable of permitting ingress and egress during power out conditions? Procedures for routine and emergency ingress and egress must consider assigned and visiting able bodied and handicap personnel, including during power out conditions.
- f.* Are interservice support agreements, MOU, and MOA, regarding COOP ERF/AH requirements established?

B–4. Response planning

- a.* Are planning and preparatory measures, alert and notification actions, response actions, and restoration activities for all hazards including acts of nature, natural disasters, accidents, and technological and/or attack-related emergencies in place?
- b.* Do COOP plans maintain compatibility between HQDA COOP plans and the respective higher headquarters?
- c.* Do plans take into account and respond to all threats that the organization’s personnel, the mission, and COOP are most likely to face?
- d.* Are COOP plans coordinated with other continuity programs at the installation local, State, Federal, host nation, and other military security program plans, as appropriate?

- e.* Do COOP plans establish the capability to shelter-in-place essential personnel?
- f.* Do COOP plans establish the capability to shelter-in-place nonessential personnel?
- g.* Do COOP plans establish procedures governing succession to office?
- h.* Do COOP plans establish emergency delegations of authority?
- i.* Do COOP plans establish procedures for the devolution of command and control?
- j.* Do COOP plans establish procedures for reconstitution and return to normal operations?
- k.* Are there procedures that the organization's COOP OPLAN automatically becomes an OPORD upon COOP declaration/activation?
- l.* Do COOP plans establish procedures for the safekeeping of vital resources, facilities, and records?
- m.* Do COOP plans provide sufficient detail concerning the execution of COOP to determine responsibilities, resource requirements, and timelines for implementation?
- n.* Are COOP plans reviewed, updated, validated every 2 years and a copy provided to the Director, Force Protection Division?
- o.* Do COOP plans address contingency procurement/contracting requirements and procedures during COOP events?
- p.* Are COOP funding requirements documented and tracked? Under guidance from the ASA(FM&C), COOP POCs will ensure that continuity program requirements are adequately planned, programmed, and budgeted, and that Army-wide Defense Continuity Program unique requirements are specifically identified in Army-wide budgets in accordance with DODD 3020.26. This will include, but not be limited to, all assets and resources and development, maintenance, and operations of facilities, communications, and transportation capabilities.

B-5. Evaluation and assessment of plans, exercises, and mission essential functions

- a.* Does the organization's COOP plan conduct, test, assess, and exercise at least annually to provide assurance that MEF can be performed across a spectrum of contingencies, threats, events, and other emergencies?
- b.* Are there annual testing, training and/or exercising of COOP capabilities? These may be tabletop, functional, or full-scale exercises, as determined by the senior Army official responsible for the organization.
- c.* Do COOP exercises include weapons of mass destruction and mass casualty contingencies?
- d.* Are the emergency response staff (ERS) and other COOP personnel who may carry classified information outside of their normal place of duty issued current Courier Cards upon appointment to these positions?
- e.* Are tests conducted at least annually to assess and/or test the organization's power out emergency circuitry, emergency generators, power-out ingress and egress mechanisms during actual power-out conditions, to determine emergency requirements under simulated disaster conditions?
- f.* Are corrective actions, lessons learned, metrics, tracking mechanisms, formats, and/or procedures formatted by the senior Army official (see AR 11-33 and AR 350-28 for guidance)?
- g.* Is there a feedback mechanism to route after-action review results through the COOP Working Group to the senior Army official responsible for the organization?
- h.* Is OPSEC considered in the planning, conduct, and evaluation of exercises?
- i.* Does the MACOM have an operational assessment team?

B-6. Awareness among Soldiers, Department of Army civilians, and contractors

- a.* Does the commander incorporate COOP Program information into the command information program?
- b.* Is COOP information being effectively disseminated through multiple means?
- c.* Is public affairs involvement in COOP documented in proactive planning?
- d.* Is OPSEC considered in all public affairs operations?
- e.* Are public affairs responsibilities included in COOP response planning?
- f.* Does COOP awareness training incorporate the postulated threat?
- g.* Are COOP training materials readily available?
- h.* Are key leaders with COOP responsibilities trained in their COOP responsibilities?

Appendix C

Threat Protection

C-1. Force protection conditions

Force protection conditions (FPCON) is a uniform system of five progressive force protection conditions describing the force protection posture of the U.S. military, from NORMAL, the lowest, through DELTA, the highest. FPCON are used throughout DOD.

- a.* FPCON NORMAL applies when a general global threat of possible terrorist activity exists and warrants a routine security posture.

- b.* FPCON ALPHA applies when there is an increased general threat of possible terrorist activity against personnel or facilities, the nature and extent of which are unpredictable.
- c.* FPCON BRAVO applies when an increased or more predictable threat of terrorist activity exists.
- d.* FPCON CHARLIE applies when an incident occurs or when intelligence is received indicating some form of terrorist action or targeting against personnel or facilities is likely.
- e.* FPCON DELTA applies in the immediate area where a terrorist attack has occurred or when intelligence has been received that terrorist action against a specific location or person is imminent.

C-2. Homeland Security Advisory System

The Homeland Security Advisory System (HSAS) will provide a national framework for Federal, State, and local Governments, private industry, and the public to communicate the nature and degree of terrorist threats. This advisory system characterizes appropriate levels of vigilance, preparedness, and readiness in a series of graduated threat conditions. On the basis of the threat level, Federal agencies will implement appropriate protective measures. States and local communities have been encouraged to adopt compatible systems so that they, too, can assume appropriate levels of readiness based on the announcement of a national threat condition. Five levels of threat conditions have been established. These will be implemented by the designated responsible individuals at affected organizations, who will also—

- a.* For low condition (GREEN), which indicates a low risk of terrorist attacks—
 - (1) Refine and exercise, as appropriate, preplanned protective measures.
 - (2) Ensure personnel receive proper training on the HSAS and specific preplanned department or agency protective measures.
 - (3) Institutionalize a process to assure that all facilities and regulated sectors are regularly assessed for vulnerabilities to terrorist attacks, and all reasonable measures are taken to mitigate these vulnerabilities.
- b.* For guarded condition (BLUE), which indicates a general risk of terrorist attacks, and in addition to the above responsibilities—
 - (1) Check communications with designated emergency response or command locations.
 - (2) Review and update emergency response procedures.
 - (3) Provide the public with any information that would strengthen its ability to act appropriately.
- c.* For elevated condition (YELLOW), which indicates a significant risk of terrorist attacks, and in addition to the above responsibilities—
 - (1) Increasing surveillance of critical locations.
 - (2) Coordinate emergency plans as appropriate with other jurisdictions (DOD components, higher and adjacent organizations).
 - (3) Assess whether the precise characteristics of the threat require the further refinement of preplanned protective measures.
 - (4) Implement, as appropriate, contingency and emergency response plans.
- d.* For high condition (ORANGE), which indicates a high risk of terrorist attacks, and in addition to the above responsibilities—
 - (1) Coordinate necessary security efforts with Federal, State, and local law enforcement agencies or any National Guard or other appropriate armed forces organizations.
 - (2) Take additional precautions at public events and consider alternative venues or even cancellation.
 - (3) Prepare to execute contingency procedures, such as moving to an alternate facility or dispersing their workforce.
 - (4) Restrict threatened facility access to essential personnel only.
- e.* For severe condition (RED), which indicates a severe risk of terrorist attacks, and in addition to the above responsibilities—
 - (1) Increase or redirect personnel to address critical emergency needs.
 - (2) Assign emergency response personnel and preposition and mobilize specially trained teams or resources.
 - (3) Monitor, redirect, or constrain transportation systems.
 - (4) Close public and Government facilities.

Appendix D Security Classification Guidance

D-1. General

a. This security classification appendix provides guidance on the classification of information pertaining to the Army COOP Program. This appendix applies to the HQDA secretariat and staff, MACOMs, the Active Army, the U.S. Army Reserve, and the Army National Guard/Army National Guard of the United States (when federalized), field

operating agencies, Army-owned and Army-managed installations, facilities, and civil works projects, and Army subordinate commands that support Army COOP activities. General Army Security Classification Guidance is contained in AR 380–5. If there is any conflict in this Appendix with AR 380–5, the most recent publication takes precedence.

b. Recommended changes to this appendix with appropriate justification should be sent through command or staff channels to Headquarters, Department of the Army, ATTN: DAMO–ODF, 400 Army Pentagon, Washington, DC 20310–0400.

D–2. Classification categories

Executive Order 12958, as further amended by EO 13292 (EO 12958, as amended), DOD 5200.1–H, and AR 380–5 require that information reasonably expected to cause damage to National Security be protected, but only to the extent, and for such time, as necessary. This appendix will be used to determine the level of security classification appropriate for all forms of information, including text, data, and drawings related to Federal Departments and Army COOP programs. To be eligible for classification, information must fall within one or more of the categories of information listed in EO 12958, as amended, section 1.4:

- a.* Military plans, weapons systems, or operations.
- b.* Foreign government information.
- c.* Intelligence activities (including special activities), intelligence sources or methods, or cryptology.
- d.* Foreign relations or foreign activities of the United States, including confidential sources.
- e.* Scientific, technological, or economic matters relating to the national security, which includes defense against transnational terrorism.
- f.* U.S. Government programs for safeguarding nuclear material or facilities.
- g.* Vulnerabilities or capabilities of systems, installations, infrastructures, projects, plans or protection services relating to national security, which includes defense against transnational terrorism.
- h.* Weapons of mass destruction.

D–3. Classification, declassification, and downgrading

As a part of the classification process, classified information will be reviewed to determine appropriate declassification. Declassification and downgrading instructions will be given emphasis comparable to that afforded original classification decisions. Information exempted from automatic declassification at 25 years must fall within one of the exemption categories noted below. Information pertaining to Army COOP is considered to be exceptionally sensitive and all classified information pertaining to these programs is exempted from automatic downgrading under the provisions of exception. This is not in the new E.O but in the Information Security Oversight Office (ISOO) Directive No. 1. These are valid exemptions, but the new executive order's point was to classify information no longer than 25 years. For intelligence sources only, 25X1 can be used immediately, but all others must be approved by ISCAP before using on a document/information. For special information, the following exemptions can be used:

- a.* 25X1: Intelligence activities (including special activities), intelligence sources or methods, or cryptology.
- b.* 25X2: Reveals information that would assist in the development or use of weapons of mass destruction.
- c.* 25X3: Reveals information that would impair U.S. crypto logic systems or activities.
- d.* 25X4: Reveals information that would impair the application of state-of-the-art technology within a U.S. weapon system.
- e.* 25X5: Reveals actual U.S. military war plans that remain in effect.
- f.* 25X6: Reveals information including foreign government information that would seriously and demonstrably impair relations between the United States and a foreign government, or seriously and demonstrably undermine ongoing diplomatic activities of the United States.
- g.* 25X7: Reveals information that would clearly and demonstrably impair the current ability of responsible U.S. Government officials to protect the President, the Vice President, and other protectees for whom protection services, in the interest of national security, are authorized.
- h.* 25X8: Reveals information that would seriously and demonstrably impair current national security emergency preparedness plans or reveal current vulnerabilities of systems, installations, infrastructures, or projects relating to the national security.
- i.* 25X9: Violates a statute, treaty, or international agreement.

D–4. Classification and document marking procedures

Classification level markings, downgrading instructions, and derivative marking designations as specified in EO 12958, as amended, will be applied to information classified according to this guide.

- a.* A knowledgeable officer will review all documents pertaining to the Army COOP Program for classification before release or issuance.

- b.* Documents will be marked with the appropriate security classification level centered at the top and bottom of each page.
- c.* Paragraph and/or portion markings are required on all documents. Tables, spreadsheets, diagrams, and drawings will be marked with appropriate classification.
- d.* Newly generated documents containing classified information extracted from existing documents must carry the appropriate existing classification levels and handling caveats, other control markings, or specific security controls on the dissemination of intelligence information.
- e.* Army COOP Program information classified by the original classifying authority (OCA) will be marked with the following classification and downgrading notation in the bottom left corner on the first or title page of all documents. See figure D-1.

CLASSIFIED BY: HQDA DCS, G-3/5/7
REASON: EO 12958, as amended, section 1.4a and g
DECLASSIFY ON: 25X8 or (date or event not to exceed 25 years from date of classification)

Figure D-1. Classification and downgrading notation example

- f.* Information classified according to this appendix that is exempt from the 25-year automatic declassification will be marked with the following derivative classification and downgrading notation in the bottom left corner on the first or title page of all documents. See figure D-2.

DERIVED FROM: AR 500-3, Army Continuity of Operations (COOP Program)
DECLASSIFY ON: 25X8 (or applicable time/event noted in this appendix)

Figure D-2. Derivative classification and downgrading notation example

D-5. Classification by compilation

- a.* As stated in EO 12958, as amended, section 1.7, compilations of items of information individually unclassified may be classified if the compiled information reveals additional associations or relationships that meet the standards for classification under this order and that are not otherwise revealed in the individual items of information. Only an OCA may make this determination on compilation. As used in this order, "compilation" means an aggregation of pre-existing unclassified items of information.
- b.* Some individual items of information concerning COOP are unclassified; however, extreme caution must be exercised when compiling information consisting of individual unclassified items.
- c.* All such documents will be reviewed by a knowledgeable security officer to determine if the document should be classified when compiled.
- d.* Classifications of this type, supported by written explanation, will be submitted to the document's OPR for approval.
- e.* Compiled material will be handled and safeguarded at the tentative classification level until a classification determination is made.

D-6. Conflicting classification guidance

Documents containing highly sensitive or critical continuity information, facilities, equipment, or their location may already be protected under security classification guidance issued by other activities within DOD. To ensure proper protection of such information, users of this appendix will consult and adhere to existing classification guidance, if the guidance is equal to or higher than that contained in this appendix. In the event of conflict of security classification guidance between this appendix and others, the issue will be referred to the document OPRs and to the affected OCAs for resolution. Until such conflict is resolved, the information will be protected at the highest level required by the conflicting classification guides. In the absence of any security classification guidance, the information will not be released or accessed until such time as a classification determination is made.

D-7. Classification matrix tables

Defense Continuity Program Security Classification Guidance and classification matrices are published by the Office of

the Assistant Secretary of Defense, Defense Continuity and Crisis Management, ATTN: Policy and Plans, 5111 Leesburg Pike, Suite 600, Falls Church, VA 22041.

D-8. Use of NOFORN

NOFORN will be applied only to intelligence information. For intelligence under the purview of the DOD, originators will use the "Releasable To" marking, and any subsequently approved releasability marking, to the maximum extent possible. Only senior officials of the intelligence community, OCA in these communities, the Undersecretary of Defense for Intelligence, or OCAs in the Undersecretary's office may determine what information warrants application of the NOFORN in the first instance. The Army senior official of the intelligence community is the Deputy Chief of Staff G-2 (DCS, G-2). Any questions pertaining to the use of the NOFORN will be directed to the local G-2 official, who will seek higher headquarters G-2 guidance as deemed necessary. Army organizations concerned about the potential for unauthorized disclosure of classified nonintelligence information are encouraged to review the implementation of the National Disclosure Policy within their organizations as described in DODI 5230.11.

Appendix E Procurement

E-1. Real estate/property procurement

All Army headquarters, organizations, and offices governed by this regulation will plan the procurement of required goods and services, to include real property or real estate leases, as an integral part of their COOP. The ACA will provide installation contracting support nationwide on Army installations. Supported headquarters will coordinate real estate and real property requirements for their COOP with the IMA for Government facilities and with the U.S. Army Corps of Engineers for any leased property requirements.

E-2. Contracting support memorandum of agreement

Army headquarters, organizations, and offices will coordinate an MOA with the ACA headquarters for contracting support from the nearest installation directorate of contracting (DOC). This MOA will outline, as a minimum, anticipated support requirements, funds certification, and property accountability procedures for contracted supplies and equipment. Supported offices and headquarters will, by supply regulation, establish property book accountability for all procured or leased end items.

E-3. Ordering personnel appointment and training

Army headquarters, organizations, and offices developing a COOP plan will analyze their mission needs, then designate sufficient personnel to be trained and utilized as field ordering officers (FOO), Class A agents and Government Purchase Card (GPC) holders and oversight. These supported headquarters will bear the responsibility to—

- a.* To coordinate and ensure the training and appointment of their FOO, Class A agents and GPC personnel by an ACA DOC.
- b.* For their FOO and Class A agents by supporting the finance and accounting officer.

E-4. Emergency support planning

a. Emergency support COOP planners will anticipate what their requirements may include, but is not limited to, transportation of people, transportation of equipment, leased office space, leased real estate for parking, telephone service, utilities, IT equipment, bottled water, fuel for emergency generators during COOP events, maintenance agreements during COOP events, copiers or a cost-per-copy contract, office furniture, secure storage for classified information, security guard force services, office supplies, janitorial services, latrine and sanitation services, commercial feeding, and medical services.

b. Local commanders will include anticipated requirements as part of their local Army G-3 validation when they staff their plan for approval.

c. COOP plans and/or procedures will also articulate their local validation process and approval level for emergency or unanticipated requirements to be put into effect upon activation of their COOP plan. Supported commanders will ensure they include these requirements validation procedures in their MOA with the ACA.

E-5. MOA timelines

An MOA must be completed and in place prior to possible COOP events and should address emergency sustainment requirements before, during, and after a COOP event.

E-6. Scarce supply and service allocation

The local Army commander's G-3 determines allocation priorities for scarce supplies and services and precludes competition among the multiple procurement offices in the regional areas.

Appendix F Management Control Evaluation Checklist

F-1. Function

This checklist covers the management of Army COOP Programs.

F-2. Purpose

The purpose of this checklist is to assist senior Army officials responsible for their organization in evaluating the key management controls outlined below. It is not intended to cover all controls. Questions raised in this appendix are for checklist purposes only and should not be construed as an independent basis for authority to act in response to any particular question. Any such response must conform and comply with applicable statute and regulation.

F-3. Instructions

Answers must be based on the actual testing of key management controls (for example, document analysis, direct observation, sampling, simulation, exercise, other). Answers indicating deficiencies must be explained and corrective action indicated in supporting documentation. These key management controls must be formally evaluated at least once every two years. Certification that this evaluation has been conducted must be accomplished on DA Form 11-2-R (Manpower Control Evaluation Certification Statement).

F-4. Test questions

- a.* Have effective management controls been established for Army COOP Program standards in accordance with paragraph 1-4?
- b.* Is there reasonable assurance that obligations and costs associated with the Army COOP Program are in compliance with applicable laws in accordance with paragraph 1-4?
- c.* Is there reasonable assurance that the Army COOP Program and its associated funding are safeguarded against waste, loss, unauthorized use or misappropriation in accordance with paragraph 1-4?
- d.* Is there reasonable assurance that the appropriate funding sources are utilized for and targeted against specific efforts associated with the Army COOP Program in accordance with paragraph 1-4?
- e.* Is there reasonable assurance that the Army infrastructure, both physical and cyber as identified in the Army COOP Program, is *available* and *functional* under all hazardous or potentially hazardous conditions both natural and man-caused in accordance with paragraph 1-4?
- f.* Is there reasonable assurance that Army COOP Responsibilities are being fulfilled in accordance with in chapter 1, section III?
- g.* Is there reasonable assurance that the Army COOP OPLANs for all three phases of a COOP event identify recovery plans and strategies and the impact of potential loss of critical infrastructure identified in the Army COOP Program ensure the continuity of organizational MEFs, services, and business functions under all conditions both natural and man-caused in accordance with paragraph 2-4?

F-5. Comments

Submit comments for improvement of this management control tool to HQDA, Director, Force Protection Division (DAMO-ODF), 400 Army Pentagon, Washington, DC 20310-0400.

Glossary

Section I Abbreviations

ACA

Army Contracting Agency

ADP

Automated data processing

AH

Alternate headquarters

AKO

Army Knowledge Online

AKO-S

Army Knowledge Online—SIPRNET

AR

Army Regulation

ASA(FM&C)

Assistant Secretary of the Army for Financial Management & Comptroller

C2

Command and control

C3I

Command, control, communications & intelligence

C4I

Command, control, communications, computers, and intelligence

CIO/G-6

Chief Information Officer/G-6

CJCS

Chairman of the Joint Chiefs of Staff

CONOPS

Concept of operations

COOP

Continuity of operations

DA

Department of the Army

DAC

Department of the Army civilian

DCIN

Defense Continuity Integrated Network

DCS, G-1

Deputy Chief of Staff, G-1

DCS, G-3/5/7

Deputy Chief of Staff, G-3/5/7

DOC

Directorate of Contracting

DOD

Department of Defense

DODD

Department of Defense Directive

EO

Executive Order

ERF

Emergency relocation facility

ERG

Emergency relocation group

FM

Field Manual

FOO

Field ordering officers

FPC

Federal Preparedness Circular

FPCON

Force protection conditions

GPC

Government purchase card

HQDA

Headquarters, Department of the Army

HSAS

Homeland Security Advisory System

IMA

U.S. Army Installation Management Agency

IT

Information technology

JOPES

Joint Operation Planning and Execution System

MACOM

Major Army command

MEF

Mission essential function

MOA

Memorandum of agreement

NCR

National Capital Region

NOFORN

Not releasable to foreign nationals/government/non-U.S. citizens

NSE

National security emergency

OCA

Original classifying authority

OCR

Office of Collateral Responsibility

OPLAN

Operations plan

OPORD

Operations order

OPR

Office of primary responsibility

OPSEC

Operations security

OSD

Office of the Secretary of Defense

POC

Point of contact

SAN

Storage area network

SIPRNET

Secure internet protocol router network

Section II**Terms****All hazards threat**

Includes military attack, terrorist activities, natural or man-made disasters. Army organizations will address in their procedures all-hazards threats, assess the probability of these threats affecting their organization, and develop procedures to respond to these threats to ensure continuity of their essential functions.

Alternate headquarters (AH)

A headquarters of a component or subordinate command, or an organization with similar missions, functions, or capabilities that is predesignated to assume the responsibilities and functions of the primary organization headquarters under emergency conditions when leaders and staff from the primary command are unable to relocate and or assume command at a relocation facility and/or in case the headquarters is suddenly rendered incapable of commanding the organization.

Army Continuity of Operations (COOP) Program

An integrated set of Army policies, plans, and procedures that ensure the continuity of MEF under all circumstances including crisis, attack, recovery, and reconstitution. It encompasses MACOM, FOAs, and subordinate commands performing COOP functions, including orderly succession, transition of leadership, and performance of essential functions across the spectrum of NSE.

Army Survival, Recovery, and Reconstitution System (ASRRS)

A comprehensive program (replaced by the Army COOP in 2001) to ensure that the Army is prepared to survive,

recover, and reconstitute essential missions and functions across the crisis spectrum from normal peacetime through all levels of national emergencies.

Augmentees

Broaden and deepen the capabilities of the backup and primary command centers by providing additional staff personnel from the organization's staff, directorates and supporting agencies. These personnel are often not usually directly assigned to MEF duties and are able to assist, augment, the primary ERG personnel in other MEF related duties. They must possess the proper security clearance commensurate with their augmentation duties.

Continuity of Government (COG)

A coordinated effort among each branch of Government to continue mission essential responsibilities in a catastrophic crisis. Army COG activities involve ensuring the continuity of MEF through plans and procedures governing succession to office and the emergency delegation of authority, safekeeping of vital records and databases, the improvisation or emergency acquisition of vital resources necessary for MEF performance, and the capability to relocate essential personnel and functions to alternate facilities, and sustain performance of MEF until normal operations can be resumed. COG is dependent on effective COOP plans and capabilities.

Continuity of operations (COOP)

The degree or state of being continuous in the conduct of functions, tasks, or duties necessary to accomplish a military action or mission in carrying out national military strategy. It includes the functions and duties performed by the commander, his or her staff, and others acting under the authority and direction of the commander.

COOP event

Any event causing an Army organization to activate their COOP plans and either to relocate operations to an alternate facility to assure continuance of its essential functions or to shelter-in-place. NOTE: Distinction must be made between a situation requiring evacuation only and one dictating the need to implement COOP plans. An example of a non-COOP event is a fire or hazardous materials incident that may require the evacuation of an organization's building but only for a short duration. Alternately, an emergency so severe that an organization facility is rendered unusable and likely will be for a period long enough to significantly impact normal operations may require COOP plan implementation. Army organizations will include in their policies and procedures a decision tree to determine if their COOP plan should be implemented or not when significant events occur.

Continuity of Operations (COOP) Program

A set of policies, plans, procedures, and capabilities that provides for the continued execution of critical missions and functions across a wide range of potential emergencies, including localized acts of nature, accidents, technological, and/or attack related emergencies.

Database

The data required for the accomplishment of functions to be performed in accordance with the organization's COOP plan. These data may be contained in plans, messages, compilations of factual information, pre-positioned messages, authentication systems, automated data processing tapes and disks, and standardized forms.

Delegation of authority

Specifies who is authorized to act on behalf of the organization head and other key officials for specific purposes.

Designated successor to authority

An official who, by virtue of the position held, is designated by law or executive order to succeed to the position of and act as a particular statutory official in the event of the death, disability, or absence of the primary individual. Such succession to office is on a temporary or interim basis and does not vacate the statutory position held by the incumbent. An officer will not succeed to any position if the position he/she occupies entitling him/her to so succeed is held by him/her in an acting capacity only.

Devolution

The capability to transfer statutory authority and responsibility for mission essential functions from an agency's primary operating staff and facilities to other personnel and facilities, and to sustain that operational capability for an extended period.

Duplicate emergency files (DEF)

Essential directives, instructions, programs, plans, emergency actions procedures, software and other critical records, documents required for the conduct of mission essential functions in a crisis or emergency situation. They are generally

in two categories, emergency operating files, used to perform MEFs, and reconstitution files, used during the reconstitution phases.

Duplicate Emergency Files Program (DEF-P)

Procedures established to ensure the survivability of documents required by a headquarters to perform MEFs during an all hazards condition that ensures enough documents are available to plan for and implement reconstitution of the Army once the situation has stabilized.

Duty hours

For the purposes of the HQDA COOP OPLAN, normal duty hours are considered to be 0700–1700 hours Eastern Time (standard or daylight savings as applicable), Monday through Friday, except Federal holidays. However, Army organizational COOP plans and procedures that differentiate between duty hour and nonduty hour requirements will specify what the normal duty hours are for their organization.

Emergency relocation facility (ERF)

A facility located, when possible, outside a prime target area to which all or part of a civilian or military headquarters may be moved in specified crises or emergencies. An ERF has the minimum essential communications and information systems to enable the organization to continue performing essential missions and functions, and is usually hardened against the effects of weapons of mass destruction.

Emergency relocation group (ERG)

Selected individuals of the Army organization's staff prepared to move to designated relocation facility(s) and perform essential functions in response to emergencies or contingencies that threaten the operations of the organization.

Emergency relocation staff (ERS)

This is a subset of the ERG. The collective emergency relocation group is subdivided into emergency relocation staffs that deploy to different relocation sites.

Enduring constitutional Government (ECG)

A cooperative effort among the executive, legislative, and judicial branches of Government, coordinated by the President, to preserve the capability to execute constitutional responsibilities in a catastrophic crisis. ECG is the overarching goal; its objective is the preservation of the constitutional framework under which the nation is governed. ECG requires orderly succession, appropriate transition of leadership, and the performance of essential functions by all three branches of Government.

Federal Emergency Management Agency (FEMA)

An independent Government agency that coordinates Federal efforts and responsibilities to anticipate, prepare for, and respond to national emergencies.

Major Army command (MACOM)

A command directly subordinate to, established by authority of, and specifically designated by HQDA. Army component commands of unified and specified commands are major Army commands.

Mission essential function (MEF)

Any function that is vital to the continuation of operations of the organization or agency. These functions include those required by statute or Executive order, and other functions deemed essential by the head of each organization. MEFs are those continuing activities that must be performed without interruption to execute critical Army missions. MEFs may be prioritized, which allows for a graduated response and relocation to the ERFs with minimum interruptions to operations during a national/local emergency or during normal operations.

National security emergency (NSE)

Any occurrence including, but not limited to, natural disaster, military attack, technological failures, civil unrest, or other disruptive condition that seriously degrades or threatens the national security of the United States.

Nonpermissive environment

An occurrence when the environment within the immediate radius (determined by the senior Army official responsible for the headquarters, installation, MACOM, or the like) of the Army echelon does *not* permit relocation activities to occur and the ERF for the agency is contaminated and/or damaged and is rendered unusable. In this circumstance, agencies cannot perform their duties because of a COOP event at their current "normal" duty location and must relocate to an emergency relocation facility to continue their operations outside their region.

Operations security (OPSEC)

The process of denying adversaries information about friendly capabilities and intentions by identifying, controlling, and protecting indicators associated with planning and conducting military operations and other activities.

Permissive environment

Occurs when Army agencies cannot perform duties at current “normal” duty location and must relocate because of a COOP event to an ERF to continue operations *within their immediate radius* (determined by the senior Army official responsible for the headquarters, installation, MACOM, or the like) of the Army echelon. The environment within immediate radius permits relocation activities to occur and the ERF for the agency is not contaminated and/or damaged.

Postattack period

In nuclear warfare, that period that extends from the termination of the final attack until political authorities agree to terminate hostilities.

Raven Rock Mountain Complex Site R

A U.S. Army and DOD communications facility. Also called RRMCMC Site R.

Reconstitution

Actions taken to re-establish an organization or the capabilities of an organization that have been destroyed or severely damaged. Also refers to the period in the postattack environment when military activities re-establish noncritical missions, functions, organizations, resources, and services, as they existed prior to the crisis event.

Recovery

The process of (1) evaluating the status and capability of organizational resources following an attack or other serious event; and (2) reorganizing so those resources are secure and the organization can continue to function, though probably at a reduced capability level.

Relocation

The movement of the emergency relocation staff to emergency relocation facilities for purposes of maintaining command and control and conducting mission essential functions on a continuous basis.

Survival

Continuing to exist and function across the conflict spectrum, usually with emphasis on the turbulent environment of a strategic attack on the continental United States.

Transattack period

In nuclear warfare, the period from the initiation of the attack to its termination.

With warning

Any event or threat of an event that is preceded by sufficient time (assumed to be 2 hours or more) to implement the organization’s COOP Plan and preclude key personnel from being impacted. Warning conditions may permit the phased relocation of the ERG.

Without warning

Any event that occurs without sufficient lead time (assumed to be 2 hours or fewer) to mitigate the impact of the event (such as, relocate key personnel and prepare for transfer of mission essential functions). In these events, execution of the organization’s COOP Plan and the causal event may occur simultaneously.

Section III**Special Abbreviations and Terms**

This section contains no entries.

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